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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/414,995	10/07/1999	ROBERT CHARLES MONSEN	CISCO-1261	4136

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EXAMINER

WON, MICHAEL YOUNG

ART UNIT	PAPER NUMBER
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2155

DATE MAILED: 07/22/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/414,995

Applicant(s)

MONSEN ET AL.

Examiner

Michael Y. Won

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 25 April 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-4 and 27-35 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-4 and 27-35 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date attached.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

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### DETAILED ACTION

1. This action is responsive to the amendment filed April 25, 2005.
2. Claims 1-4 and 27-35 have been re-examined and are pending with this action.
3. The Information Disclosure Statements filed December 6, 1999, March 13, 2000, October 13, 2000, and January 3, 2001 have been considered on April 15, 2002 and a copy has been attached with this action.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

4. Claims 1 and 27-35 are rejected under 35 U.S.C. 102(b) as being anticipated by Jones (US 5,144,659 A).

### **INDEPENDENT:**

As per **claim 1**, Jones teaches of an apparatus for controlling operations by a client on a file stored on a network device (see col.3, lines 35-36 and col.4, lines 45-51), said apparatus comprising:

a first memory (see col.4, line 5-6: "file storage system"; and col.8, lines 34-38) associated with the file, said first memory for storing a fixed file security status (see col.9, lines 52-53: "archival status in a portion of memory within the file storage device"), said fixed file security status being either of a first type or of a second type, wherein said first type indicates that operations are not allowed on the file and said second type indicates that operations are allowed on the file (see col.4, lines 20-22 and col.9, lines 20 & 30-38);

a second memory (see col.4, lines 1-6 and col.8, lines 34-38) associated with the file, said second memory for storing an active file security status (see col.9, lines 51-52: "file signatures of the active files"), said active file security status being either of said first type or of said second type and changeable from said first type to said second type (see col.4, lines 16-28 and implicit: see col.9, line 58-col.10, lines 14);

an independent verification routine (see col.9, lines 19-38 and col.11, lines 11-13) having access to a security database listing clients and corresponding privileges (see abstract: "Supervisor determined..."), wherein said independent verification routine is enabled:

to determine whether the client has privilege to perform operations on the file based at least in part on an authorization credential from the client (see col.2, lines 49-51) and

to generate either a positive or a negative determination upon request (see col.9, lines 39-46); and

a request handler in communication with said first memory, said second memory, and said independent verification routine (see col.3, lines 60-68; col.9, lines 19-38; and col.11, lines 11-13), wherein said request handler is enabled:

to receive a request from the client to open the file (inherent: col.3, lines 49-51);

transmitting a file descriptor to the client (inherent: see col.11, lines 33-38);

*to copy said fixed file security status from said first memory to said second memory as said active file security status (inherent: see col.4, lines 24-28; col.9, lines 51-54; and col.11, lines 44-47);*

to determine whether said active file security status is of said first type or of said second type (see col.9, lines 51-54);

when said active file security status is determined to be of said second type (see col.9, lines 30-35):

to receive a request from the client to perform an operation on the file (inherent: col.3, lines 49-51);

to determine that said active file security status is of said second type (see col.9, lines 30-35); and

to perform the operations requested by the client on the file (see col.8, lines 11-28); and

*when said active file security status is determined to be of said first type (see col.9, lines 35-38):*

*to receive said authorization credential from the client (see col.11, lines 31-32);*

*to pass said authorization credential to said independent verification routine (see col.4, lines 24-28);*

*to receive a positive determination from said independent verification routine that the client has privilege to perform operations on the file (see col.11, lines 31-43);*

*to change said active file security status from said first type to said second type (implicit: see col.4, lines 19-32 and col.9, line 58-col.10, lines 14);*

*to receive a request from the client to perform an operation on the file (inherent: col.3, lines 49-51);*

*to determine that said active file security status is of said second type (see col.9, lines 30-35); and*

*to perform the operations requested by the client on the file (see col.8, lines 11-28).*

As per **claims 27, 30, and 33**, Jones teaches a method, an apparatus, and a computer-readable medium having stored thereon computer-executable instructions for performing the method (see col.3, lines 36-37); for controlling operations by a client on a file stored on a network device (see col.4, lines 45-51) having a first memory (see col.4, line 5-6: "file storage system"; and col.8, lines 34-38) associated with the file (see col.9, lines 52-53: "archival status in a portion of memory within the file storage device") and a

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second memory (see col.4, lines 1-6 and col.8, lines 34-38) associated with the file (see col.9, lines 51-52: "file signatures of the active files"), wherein the first memory stores a fixed file security status being either of a first type or of a second type (see col.4, lines 20-22 and col.9, lines 20 & 30-38) and the second memory stores an active file security status being either of the first type or of the second type (see col.9, lines 20 & 30-38) and changeable from the first type to the second type (see col.4, lines 16-28 and implicit: see col.9, line 58-col.10, lines 14) and wherein the first type indicates that operations are not allowed on the file (see col.9, lines 35-38) and the second type indicates that operations are allowed on the file (see col.9, lines 30-35), the method comprising:

receiving a request from the client to open the file (inherent: col.3, lines 49-51);

transmitting a file descriptor to the client (inherent: see col.11, lines 33-38);

*copying the fixed file security status from the first memory to the second memory as the active file security status (inherent: see col.4, lines 24-28; col.9, lines 51-54; and col.11, lines 44-47);*

determining whether the active file security status is of the first type or of the second type (see col.9, lines 51-54);

when the active file security status is determined to be of the second type (see col.9, lines 30-35):

receiving a request from the client to perform an operation on the file  
(inherent: col.3, lines 49-51);

determining that the active file security status is of the second type (see col.9, lines 30-35); and

performing the operation requested by the client on the file (see col.8, lines 11-28); and

*when the active file security status is determined to be of the first type (see col.9, lines 35-38):*

*receiving an authorization credential from the client (see col.11, lines 31-32);*

*passing the authorization credential to an independent verification routine that determines whether the client has privilege to perform operations on the file (see col.4, lines 24-28);*

*receiving a positive determination from the independent verification routine that the client has privilege to perform operations on the file (see col.11, lines 31-43);*

*changing the active file security status from the first type to the second type (implicit: see col.4, lines 19-32 and col.9, line 58-col.10, lines 14);*

receiving a request from the client to perform an operation on the file (inherent: col.3, lines 49-51);

determining that the active file security status is of the second type (see col.9, lines 30-35); and

performing the operation requested by the client on the file (see col.8, lines 11-28).



**DEPENDENT:**

As per **claims 28, 31, and 34**, Jones further teaches wherein when the active file security status is determined to be of the first type and before changing the active file security status, the method further comprises: receiving a request from the client to perform an operation on the file (inherent: col.3, lines 49-51); and returning an error message to the client indicating a refusal to perform the operation requested by the client on the file (see col.3, lines 56-59 and col.10, lines 36-41).

As per **claims 29, 32, and 35**, Jones further teaches wherein when the active file security status is determined to be of the first type and after passing the authorization credential, the method further comprises: receiving a negative determination from the independent verification routine that the client has no privilege to perform operations on the file (implicit: see col.4, lines 16-28); receiving a request from the client to perform an operation on the file (inherent: col.3, lines 49-51); and returning an error message to the client indicating a refusal to perform the operation requested by the client on the file (see col.3, lines 56-59 and col.10, lines 36-41).

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 2 and 3 are rejected under 35 U.S.C. 103(a) as being unpatentable over Jones (US 5,144,659 A), as applied to claims 1 above, and further in view of Subramaniam et al. (US 5,519,507 A).

Jones teaches all the limitations of **claim 2** including a third memory associated with the file (see col.8, lines 34-38: "sectioning"), but he does not teach that the said third memory is used for storing a delete-on-close status, said delete-on-close status initially set to a first value and changeable to a second value, wherein said first value indicates that the file will not be deleted upon closing and the second value indicates that the file will be deleted upon closing. Subramaniam teaches of a delete-on-close status, said delete-on-close status initially set to a first value and changeable to a second value, wherein said first value indicates that the file will not be deleted upon closing and the second type indicates that the file will be deleted upon closing (see col.6, lines 31-33 and 35-37). It would have been obvious to a person of ordinary skill in the art, at the time the invention was made, to employ the teachings of Subramaniam within the system of Jones, by allowing the client who has access to a particular file to be able to delete or retain the file from memory upon closing, because such functions enable the client to have complete control of the file in which they have access to. Furthermore, Jones teaches of a "terminate and stay resident (TSR)" program that does not delete upon closing (see col.7, lines 29-33), therefore, one of ordinary skill in the art would conclude that any data that is not TSR or saved into memory must be deleted upon closing.

As per **claim 3**, Jones further teaches wherein the first memory is a non-volatile random access memory (see col.9, lines 19-24), and said second memory and third memory are in a file entry (inherent: see col.9, lines 65-68: "file signature can be updated").

6. Claim 4 is rejected under 35 U.S.C. 103(a) as being unpatentable over Jones (US 5,144,659 A) and Subramaniam et al. (US 5,519,507 A), as applied to claims 1-3 above, and further in view of Testin et al. (US 4,776,038 A).

Jones and Subramaniam teach all the limitations of **claim 4** except wherein the first memory, said second memory, and said third memory comprise single bits. Testin teaches of first memory, second memory, and third memory comprise single bits (see col.4, lines 58-62). It would have been obvious to a person of ordinary skill in the art, at the time the invention was made, to employ the teachings of Testin within the system of Jones and Subramaniam, because assigning a single bit to a memory allows for optimization of two states ("0" state or "1" state) to serve two functions, respectively.

### ***Response to Arguments***

7. In response to the argument regarding claims 1, 27, 30, and 33 that *Jones* (US 5,144,659 A) does not teach "copying the fixed file security status from the first memory to the second memory as the active file security status" such limitation is inherent with the teachings of *Jones*. *Jones* teaches of comparing file signatures of active files with

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those held in an archival status (see col.9, lines 51-54). *Jones* further teaches of “developing a files signature for each and every one of the files, and archiving each such file signature (see col.11, lines 44-47). Therefore, it is clearly inherent that the file signatures of active files are copied to the “auxiliary memory” from the memory retaining the archival status such that comparison of the file signatures can result since the file is being requested (see col.4, lines 24-28). Furthermore, since *Jones* teaches of updating the security status (see col.9, lines 65-68), clearly it is inherent that the updated data is copied from one memory to another. The teaching of *Jones* clearly reads on the broad limitation recited.

8. In response to the argument regarding claims 1, 27, 30, and 33 that *Jones* does not teach the limitation “when said active files security status is determined to be of said first type... to change the active file security status from said first type to said second type” clearly such limitation is implicit. *Jones* teaches wherein “upon valid user identification, the auxiliary memory and control unit will indicate to the host computer operating system which files are accessible to that user” and similarly “invalid entry criteria for the files requested will be denied entry” (see col.4, lines 24-32). Therefore the active file security status will remain as the first type until valid user identification is verified, and then changed to a second type.

9. For the reasons above all dependent claims remain rejected.

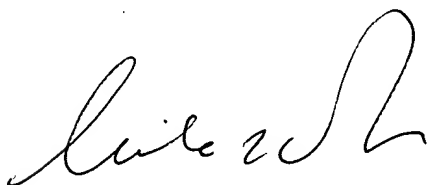
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10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael Y. Won whose telephone number is 571-272-3993. The examiner can normally be reached on M-Th: 7AM-5PM.

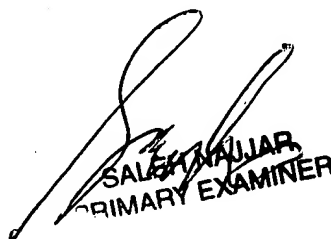
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Saleh Najjar can be reached on 571-272-4006. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Michael Won



July 20, 2005



SALEH NAJJAR  
PRIMARY EXAMINER